

AEFLA Corrective Action Process

General Guidance

Purpose

The purpose of the Corrective Action Process is to ensure compliance and improvement within Idaho's ABE programs. This process also encourages programs to examine their procedures and approaches such that they provide the most effective response to the needs within their communities. Therefore the Corrective Action Process should be used as a means for programs to purposefully consider and address areas of non-compliance or program improvement.

A program is required to undergo Corrective Action if it:

- is found to be out of compliance with federal, state, or agency rules, policy or guidelines or
- it has failed to show an general improvement in outcomes over the past three years.

Definition

The *Corrective Action Process* is how ABE programs address specific compliance issues requiring immediate attention or action. This process includes submitting a Corrective Action Plan, working with the State Office to address compliance issues, and submitting any documents or follow-up required by the State Office. Technical Assistance will be provided, and may be required, for programs in Corrective Action.

A *Corrective Action Plan* is put together by the program, listing specific compliance issues and proposing methods for addressing them. The plan will also include a timeline for completion and a list of additional reports or documents to be submitted to the state. A template for the Corrective Action Plan is available at the state ABE website. The Corrective Action Process is considered a short-term process, and every effort should be made within the Corrective Action Plan to address compliance issues within six weeks. If more time is required, a program must negotiate a new timeline with the State Office.

Process

The following are the steps a program can expect when going through the Corrective Action Process:

1. State Office identifies a compliance or improvement issue either through on-site monitoring, or review of records and reports such as Desk Data Audits, Annual Reports, or IMAS data.
2. State Office notifies program in writing within two weeks of the findings.
3. Upon receiving notice of a Corrective Action, the program will have two weeks to compile and submit a Corrective Action Plan to the state office.
4. The State Office will review the proposed Corrective Action Plan and will either approve the plan or ask for specific revisions.
5. Once the Corrective Action Plan is approved, the program will have six weeks to complete the necessary steps (unless otherwise negotiated).
6. If the Corrective Action Plan has an extended timeline, the program will be required to submit monthly updates on the 15th of each month until the plan has been completed. Updates should be succinct and follow the format of the original plan.

7. Once the Corrective Action Plan has been completed, the program will submit a final report, in the same format as the original plan, addressing each item.
8. The State Office will review the final report and all supporting documentation. In some cases, a follow-up monitoring visit will be required.
 - a) If the State Office decides that sufficient action has been taken, the program will receive written notice that the particular Corrective Action has been closed.
 - b) If the State Office decides that the issue has not been properly addressed, a new Corrective Action will be issued, and steps 1-8 will happen again.